



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
Cas N . 12672US01

7/16  
PD  
10/21/03  
PATENT

In the Application of:

ROBERT CAREY ✓

Serial No.: 09/639,478 ✓

Filed: August 15, 2000

For: TECHNIQUES OF SELECTING  
SECURITIES FOR A PORTFOLIO  
USING BUYBACK RATIO AND  
DIVIDEND YIELD ✓

Examiner: Nicholas D. Rosen

Group Art Unit: 3625  
Confirmation No.: 9992

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450, on October 9, 2003.

By: Ronald E. Larson  
Ronald E. Larson  
Reg. No. 24,478

**AMENDMENT A**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action dated July 10, 2003, kindly amend the above-identified application as follows:

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)		Application Number		09/639,478	
		Filing Date		August 15, 2000	
		First Named Inventor		Robert Carey	
		Group Art Unit		3625	
		Examiner Name		N. Rosen	
		Attorney Docket Number		12672US01	
Total Number of Pages in This Submission		14			
<b>ENCLOSURES (check all that apply)</b>					
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO 1449/08A with references <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) (      sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD Number of CD(s) _____		<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group ( <i>Appeal Notice, Brief, Reply Brief</i> ) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Return receipt postcard	
Remarks		The Commissioner is authorized to charge additional fees due or credit overpayments to Deposit Account 13-0017.			
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>					
Firm or Individual Name		Ronald E. Larson, Esq. McAndrews Held & Malloy, Ltd.			
Signature		<i>Ronald E. Larson</i>			
Date		October 9, 2003			
<b>CERTIFICATE OF MAILING</b>					
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Name (Print/type)		Ronald E. Larson	Registration No. (Attorney/Agent)	24,478	
Signature		<i>Ronald E. Larson</i>		Date Oct. 9, 2003	

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